



CIO-SP2*i* – NITAAC Statement of Work (SOW)
Appendix A

**DOJ Components Consolidated
Performance-Based Requirements**

Version 3.0
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1. Introduction

This appendix describes the Litigation Case Management System (LCMS) Phase 1 performance-based (P-B) requirements. The P-B requirements are a consolidation of all individual Component's requirements, as well as Executive and Department level reporting requirements.

1.1 Background

As shown in Figure 1, case management systems serve three levels of business needs. At the legal professionals' (e.g., attorneys') level, case management systems allow legal professionals, agents, analysts, and other staff to manage information about, and in support of individual cases and caseloads. At the supervisory level, case management systems allow supervisors to track and report performance, and balance case workload across their organizations. At the executive level, case management systems provide organizational performance data to support executive level decision-making and mandatory reporting requirements to Congress, OMB, and other oversight organizations, including recognizing trends and allocating resources in support of mission and strategic goals.

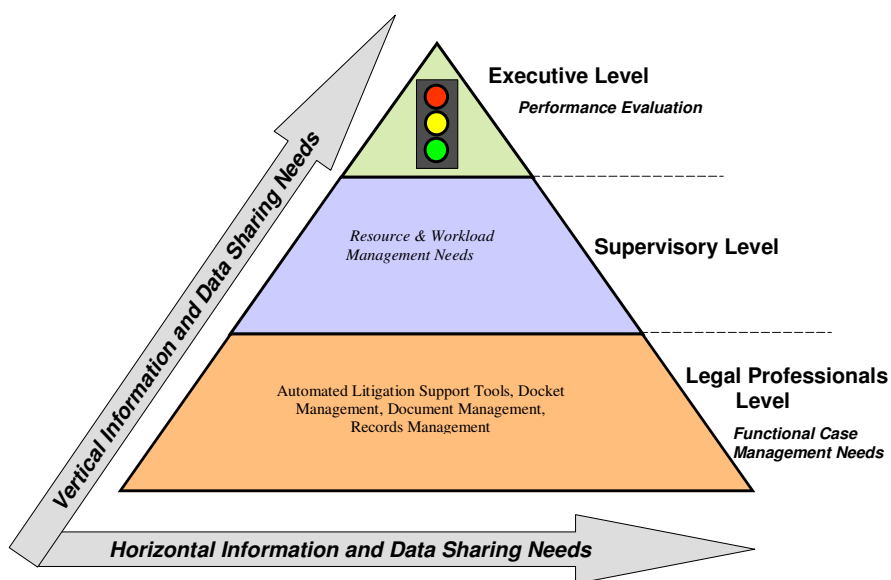


Figure 1. Top-Level Case Management Business Processes and Activities

The Litigation Case Management System (LCMS) Program will take a phased implementation approach. This requirements document is focused on Phase 1. The scope of the first phase of the LCMS, v1.0, will include the following common functionality: case event/information management and status tracking, caseload and performance reporting, and time reporting. Phase 1 functionality falls primarily within the supervisory and executive levels of the three levels of case management needs. Subsequent phases will address the needs at the legal professional level. The LCMS

will also interface with other systems such as the Victim/Witness Notification System (VNS) and document management systems as needed.

The intent of the requirements listed in this document is to state the information and key business rules needed to track and report on litigation cases, as described above, not the day-to-day activities that an individual attorney undertakes. The requirements capture the activities involved in tracking and reporting cases, rather than the detailed content of, or steps within, individual cases.

1.2 Litigation Case Management Business Processes Overview

Figure 2 provides a high-level overview of the business processes of litigation case management based on the litigation case management business architecture.

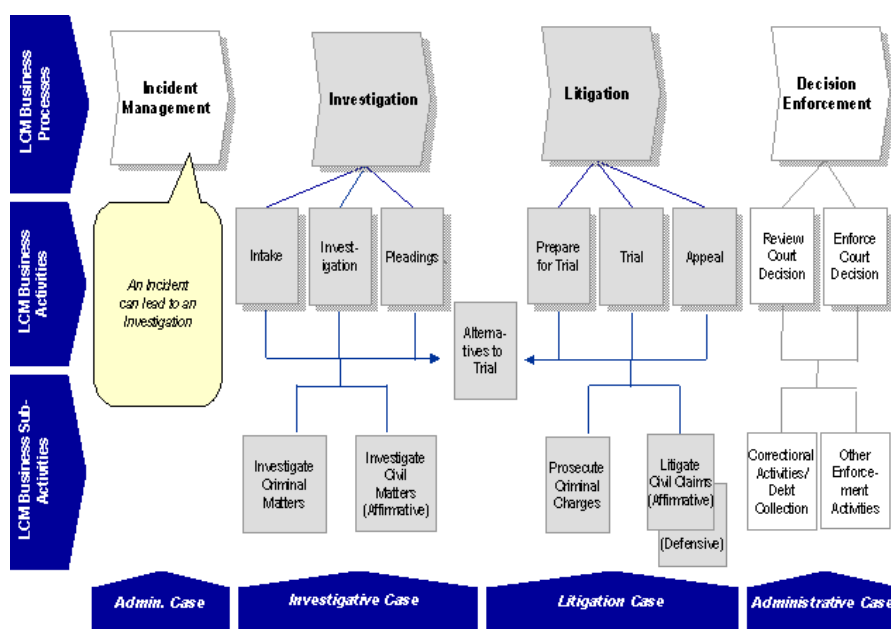


Figure 2. Top-Level Case Management Business Processes and Activities

(Source: Enterprise Architecture: Target Business Architecture, February 22, 2005)

This requirements package focuses on the litigation business processes, as well as the business activities and sub-activities that support those processes as shown in Figure 3 below.

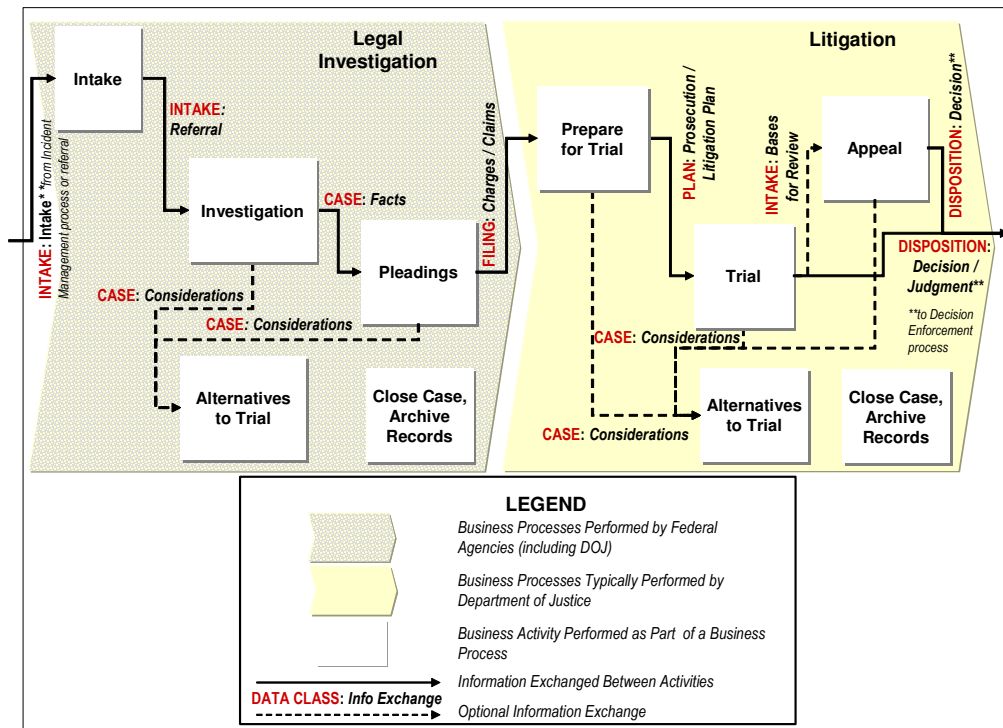


Figure 3. Business Activities Performed in Support of LCM Business Processes

(Source: Enterprise Architecture: Target Business Architecture, February 22, 2005)

1.3 Assumptions

The key assumptions relevant to the scope of Phase 1 LCMS implementation are:

- LCMS will provide a common litigation case management platform for all Components. LCMS will replace each Component's existing litigation case management system and functionality in Phase 1.
- LCMS will provide interfaces to those applications with which each Component's case management system(s) currently interface. For Phase 1, it is envisioned that existing interfaces will be maintained and replicated by LCMS; and no additional interfaces to other systems will be developed.
- It is envisioned that the functionality provided by applications that interface with the Component's case management system(s) (e.g., Components' document management systems and records management systems) will be retained within the respective applications and assessed for possible incorporation into future LCMS releases. Exceptions will be made where it makes business sense to incorporate new functionality into LCMS or the functionality exists in current case management systems and where there are not significant impacts to scope, cost, and schedule.

- It is assumed that LCMS shall adhere to the LCMS Technical Architecture and will use GJXML to interface with external agency systems, as it makes business sense.
- Phase 1 of LCMS will not be a “total solution”. Success for Phase 1 is defined as migrating existing functionality to a common case management platform. The common solution sets the stage for future success, including electronic data exchange with the U.S. Courts. In subsequent phases, LCMS will be extended to include additional functionality and develop interfaces to new and existing applications.
- LCMS will maintain information in a Sensitive but Unclassified (SBU) environment and will not be used to manage classified information.
- This document addresses the Performance-Based (PB) requirements for LCMS Phase 1, defined as implementing a common solution across the 94 USAOs and the six major DOJ litigation divisions. Future phases will deliver additional functionality as described in separate requirements documents.

1.4 Acronyms

The following terms are used throughout this document.

Term	Definition
ADR	Alternative Dispute Resolution
API	Application Programming Interface
ATR	Antitrust Division
CDCS	Consolidated Debt Collection System
CIV	Civil Division
COTS	Commercial Off The Shelf
CRM	Criminal Division
CRT	Civil Rights Division
DJ	Department of Justice Case Identifier
DOJ	Department of Justice
EEOC	Equal Employment Opportunity Commission
ENRD	Environmental and Natural Resources Division
EOUSA	Executive Office for U.S. Attorneys
FMIS	Financial Management Information System
FOIA	Freedom of Information Act
FRC	Federal Records Center
GPRA	Government Performance and Results Act
HIPDB	Healthcare Integrity and Protection Data Bank
HR	Human Resources
ICE	Immigration and Customs Enforcement
IE	Internet Explorer

Term	Definition
INS	Immigration & Naturalization Service
IRS	Internal Revenue Service
JAD	Joint Application Development
JMD	Justice Management Division
LCMS	Litigation Case Management System
LoB	Lines of Business
MPS	Management and Planning Staff
MS	Microsoft
NARA	National Archives & Records Administration
OCDETF	Organized Crime Drug Enforcement Task Force
OMB	Office of Management and Budget
PACER	Public Access to Court Electronic Records
PART	Program Assessment Rating Tool
PKI	Public Key Infrastructure
PMN	Pre-Merger Notification
QBE	Query by Example
RMU	Records Management Unit
SAUSA	Special Assistant U.S. Attorney
SQL	Structured Query Language
TAX	Tax Division
UFMS	Unified Financial Management System
USAO	U.S. Attorney's Office
VNS	Victim/Witness Notification System
XML	eXtensible Markup Language

2. Data Entities

This section lists the key terms used throughout this document, and describes the composition of each entity. This section is intended to describe the types of data the LCMS will manage. All entities can be established, managed, and tracked in the LCMS at any point in time, subject to organization-specific business rules.

The purpose of the LCMS system is to track status and manage information and other objects related to a case/matter. A matter is inclusive of litigation and non-litigation specific issues, distinguished by the matter type, whereas a case is a litigation specific issue filed in judicial forum. It is left to the discretion of the DOJ organization whether or not to use the non-litigation aspect of LCMS, depending upon how the DOJ organization defines a matter. LCMS will facilitate quick and easy tracking and reporting on either type of matter through its life cycle. The definition of case and matter for each DOJ Component is provided in Table 2.1 below.

Table 2.1. Definitions of Case/Matter

Component	Case Definition	Matter Definition
EOUSA	When a matter is filed in court and a docket number is assigned, it becomes a case.	A matter is any issue that staff/counsel spends more than a specified amount of time on.
CIV	When a matter is filed in court and a docket number is assigned, it becomes a case.	A matter is any issue that staff/counsel spends time on.
ENRD	A case is a cause of action or controversy that has been, or may be, filed in court or another judicial or administrative forum.	A matter is anything that is not a case and is not expected to become a case.
CRT	When a matter is filed in court and a docket number is assigned, it becomes a case.	A matter is any issue that is not already a case.
TAX	Do not distinguish between cases and matters, but do track which cases/matters have been filed in court.	Do not distinguish between cases and matters, but do track which cases/matters have been filed in court.
ATR	A particular matter phase that entails the filing of a complaint in a U.S. District Court.	Any discrete set of activities to which the Division dedicates resources in pursuit of its core mission.
CRM	When a matter is filed in court and a docket number is assigned, it becomes a case.	A matter is any issue that staff/counsel spends more than a specified amount of time on.

Information related to an individual, a group of people, a business, or objects involved with or relating to a case/matter is referred to as a case management data entity. Throughout the remaining sections of this document, data entities will be written in *italics* format. The term “DOJ organization”, or “organization”, applies to any level of the Department (e.g., Component, section, branch, USAO, etc.). Table 2.2 below lists the data entities that are involved in a *case/matter*.

Table 2.2. LCMS Data Entity Description

Data Entity	Data Entity Description
<i>Agent</i>	Information, such as name, contact information, and role, related to a person authorized to act on behalf of an <i>organization</i> involved in a <i>case/matter</i> .
<i>Alternative Dispute Resolution (ADR)</i>	Information related to mediation or arbitration for a <i>case/matter</i> that includes, but is not limited to, <i>ADR</i> date, whether or not <i>ADR</i> was <i>court</i> ordered, fees paid by the government, and how much was paid.
<i>Asset</i>	Information related to monetary/non-monetary <i>assets</i> related to a <i>participant</i> in a <i>case/matter</i> .
<i>Case</i>	Information related to a <i>case</i> such as <i>case</i> number, <i>case</i> type, caption, status, start and end date, <i>filing</i> date, handling, and U.S. role. Each DOJ Component identifies a <i>case</i> by a numbering scheme. A <i>case</i> may have relationships with other <i>cases/matters</i> .
<i>Charge(s)</i>	Information related to a statute allegedly violated by the defendant/ <i>target</i> in a criminal <i>case/matter</i> . Information includes whether the <i>charges</i> are recommended, approved, or charged.
<i>Claim(s)</i>	Information related to a cause of action, including relevant statutes, allegedly violated by the defendant/ <i>respondent</i> in a civil <i>case/matter</i> .
<i>Counsel</i>	Information related to all <i>counsel</i> involved in a <i>case/matter</i> including identification, role (such as <i>counsel</i> of record), contact information, type (e.g., retained, appointed, or pro se), start and end dates, and time spent on activities related to a <i>case/matter</i> .
<i>Count</i>	Information related to discrete <i>charges</i> against a defendant/ <i>target</i> in a criminal <i>case/matter</i> .
<i>Court</i>	Information related to the <i>court</i> and its jurisdiction such as <i>court</i> name, <i>court</i> identifier, and district/circuit.
<i>Debt</i>	Information related to the amount of money and the value of <i>assets</i> that the United States either has collected or has the legal right to recover from or enforce payment by the debtor.
<i>Disposition</i>	Information about a result or outcome that is the product of handling, processing, finalizing, resolving, or dropping a <i>count</i> , <i>claim</i> , <i>matter</i> , <i>case</i> , or <i>court</i> . Information may include <i>disposition</i> “type” such as interim or final. There may be multiple <i>dispositions</i> within a <i>case</i> and for a <i>count</i> or party.
<i>Document</i>	Information related to a <i>document</i> in a <i>case/matter</i> (e.g., name, date, description, identifier(s), and location).

Data Entity	Data Entity Description
<i>Event</i>	An <i>event</i> is a single occurrence that happens at a point in time. <i>Events</i> can trigger the initiation of an activity, occur during an activity, or occur at the conclusion of an activity. Examples of <i>events</i> include, but are not limited to, incidents, depositions, arrests, intake, <i>filings</i> , meetings, and hearings. <i>Events</i> can be scheduled or logged into LCMS after the fact. <i>Event</i> information may include deadline date and time, tracked at <i>participant</i> , <i>staff</i> , <i>court</i> , and <i>case</i> levels.
<i>Evidence</i>	Information related to the items entered/intended to be used as proof in a <i>case/matter</i> .
<i>Filing</i>	Information related to a formal submission to a judicial forum such as type, date, and person submitting. Examples of a <i>filing</i> type include, but are not limited to, <i>charge</i> , <i>claim</i> , complaint, indictment, plea, information, subpoena, petition, motion, brief, and notice of appeal. <i>Filings</i> are also associated with <i>notifications</i> . E-Filings are included in this description.
<i>Matter</i>	Information related to a <i>matter</i> such as <i>matter</i> type (e.g., litigation and non-litigation <i>matters</i>), date, <i>referral</i> information, <i>request</i> information, status etc. A <i>matter</i> may have relationships with other <i>cases/matters</i> . <i>Matter</i> information includes, but is not limited to, start and end date, description, etc. A DOJ <i>organization</i> may identify a <i>matter</i> by one or more numbering schemes.
<i>Miscellaneous</i>	Other information relevant to a specific DOJ <i>organization</i> related to a <i>case/matter</i> . For example, pollutants, FTC notification of pre-merger activity, product and geographic markets, or controlled substance.
<i>Notification</i>	Information related to a transmitted message relating to an <i>event</i> or <i>request</i> such as type, date, description, name, subject, sender information, and receiver information. Legal announcements and <i>filings</i> are examples of items for which <i>notifications</i> may be used.
<i>Organization</i>	Information on the <i>organizations</i> (DOJ and non-DOJ) associated with the <i>case/matter</i> (e.g., name, type, address, branch, division, and role). The type of <i>organization</i> may include referring agency.
<i>Participant</i>	Information about an individual or <i>organization</i> related to a <i>case/matter</i> such as name, start and end dates, role, address, contact information, time spent on activities related to a <i>case/matter</i> , and identifying information. Examples of <i>participant</i> roles include, but are not limited to, <i>ADR</i> neutral, expert, defendant, judge, victim, witness, and opposing party. A <i>participant</i> may have multiple roles.
<i>Penalty</i>	Information related to the sentence, fine, or <i>penalty</i> in a criminal <i>case/matter</i> . <i>Penalty</i> could be a forfeiture or restitution.
<i>Privileged/Protected Material</i>	Information or material that is <i>privileged/protected</i> , and not to be shared. Entering of <i>privileged/protected</i> material into the system is at the discretion of the Components.
<i>Referral</i>	Information from a government agency/DOJ <i>organization</i> initiating a <i>case/matter</i> for the receiving DOJ <i>organization</i> . A <i>referral</i> can be related to a <i>recusal</i> .

Data Entity	Data Entity Description
<i>Relief</i>	Information related to monetary or non-monetary <i>relief</i> sought and awarded or otherwise obtained (e.g., amount and type). Examples of type of <i>relief</i> include but are not limited to injunctive-prospective and injunctive-remedial, declaratory <i>relief</i> , damages, etc.
<i>Request</i>	Information about a <i>request</i> for information or action that is not a <i>referral</i> (e.g., Freedom of Information Act (FOIA) or <i>request</i> from a non-government individual or entity for prosecution of a target). Information includes but is not limited to requestor information, date, and recipient. A <i>request</i> may be considered a type of <i>matter</i> .
<i>Settlement</i>	Information related to a final agreement between the parties regarding all or part of a <i>case/matter</i> . Settlements can be reached in or out of <i>court</i> . <i>Settlement</i> is a sub-set of <i>disposition</i> .
<i>Staff</i>	Information about a <i>staff</i> member (including branch and sub-division) assigned to work on a given <i>case/matter</i> such as name, contact, branch/division, organization, role, start/end dates, and time spent on activities related to a <i>case/matter</i> for <i>staff</i> involved. A <i>staff</i> member may have multiple roles in an <i>organization</i> . <i>Counsel</i> has been listed as a separate entity but may be included as <i>staff</i> based on individual DOJ <i>organization</i> requirements.
<i>Target/Respondent</i>	Information about an individual of interest or an <i>organization</i> of interest in a <i>case/matter</i> . <i>Target/respondent</i> becomes a defendant when formally charged/sued.
<i>Task</i>	Information, such as assignment date and description, about one or more activities assigned to one or more <i>staff</i> members who are on a particular <i>case/matter</i> (such as prep for trial or economic analysis).

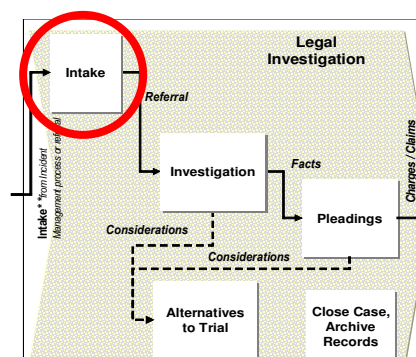
3. LCMS Common Business Processes

This section relates the data entities to the LCMS common business processes as reflected in the LCMS Business Architecture. The common business processes are presented from the Department level perspective and are not meant to specify *organization*-specific business processes.

It is recognized that the litigation business process is not linear; therefore, many data entities can be used at virtually any point in the business process. The selected system will need to be highly flexible to allow for capture and management of data entities at any point in the business process, subject to established *organization*-specific business rules. However, Section 2.0 presents the most common data elements used during the business process described in the Litigation Case Management Target Business Architecture.

3.1 Investigation Business Processes

3.1.1 Intake

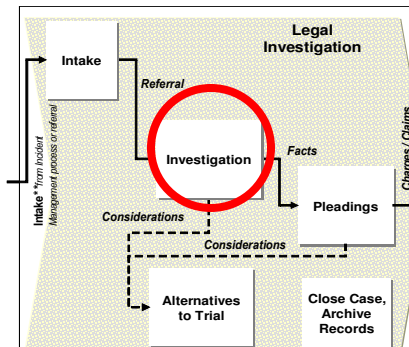


The following are the key data entities used during intake:

- | | | |
|---------------|---------------------------------|---------------------|
| - Agent | - Charge | - Claim |
| - Counsel | - Count | - Disposition |
| - Document | - Event | - Evidence |
| - Matter | - Miscellaneous | - Organization |
| - Participant | - Privileged/Protected Material | - Referral |
| - Request | - Staff | - Target/Respondent |

Note: During intake, activities may be performed by the concerned *organization(s)* to determine if the *matter* is to be pursued. The decision may involve electronic exchange of data with other agencies and may lead to referring the *matter* to other DOJ *organization(s)* or agencies.

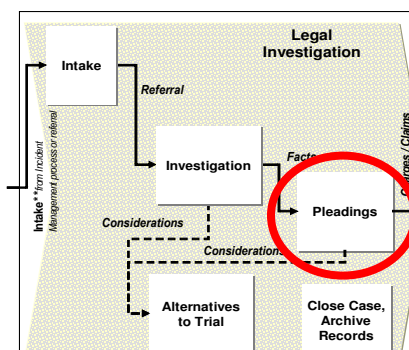
3.1.2 Investigation



The following are the key data entities used during investigation:

- | | | |
|----------------|------------------------|-----------------|
| - Agent | - Asset | - Charge |
| - Claim | - Counsel | - Count |
| - Disposition | - Document | - Event |
| - Evidence | - Matter | - Miscellaneous |
| - Notification | - Organization | - Participant |
| - Penalty | - Privileged/Protected | - Referral |
| | Material | |
| - Relief | - Request | - Settlement |
| - Staff | - Target/Respondent | - Task |

3.1.3 Pleadings

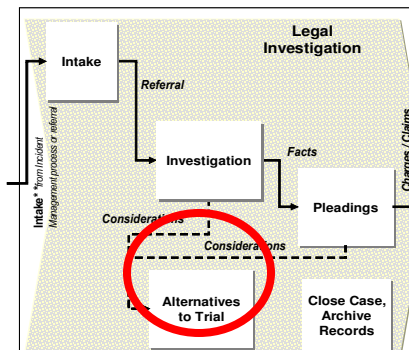


The following are the key data entities used during preparation for *filing in court*:

- | | | |
|-----------|---------------|------------|
| - ADR | - Agent | - Asset |
| - Case | - Charge | - Claim |
| - Counsel | - Count | - Court |
| - Debt | - Disposition | - Document |

- | | | |
|--|------------------------|-----------------------|
| - <i>Event</i> | - <i>Evidence</i> | - <i>Filing</i> |
| - <i>Matter</i> | - <i>Miscellaneous</i> | - <i>Notification</i> |
| - <i>Organization</i> | - <i>Participant</i> | - <i>Penalty</i> |
| - <i>Privileged/Protected Material</i> | - <i>Referral</i> | - <i>Relief</i> |
| - <i>Request</i> | - <i>Settlement</i> | - <i>Staff</i> |
| - <i>Target/Respondent</i> | - <i>Task</i> | - |

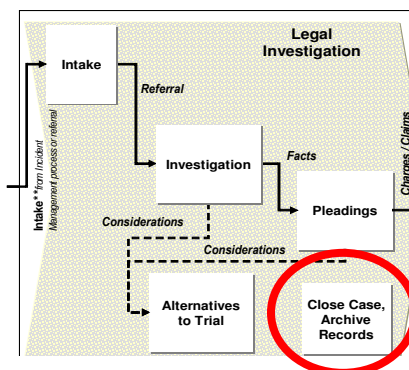
3.1.4 Alternatives to Trial



The following are the key data entities used during alternative to trial:

- | | | |
|----------------------|--|------------------------|
| - <i>ADR</i> | - <i>Counsel</i> | - <i>Debt</i> |
| - <i>Disposition</i> | - <i>Document</i> | - <i>Miscellaneous</i> |
| - <i>Participant</i> | - <i>Privileged/Protected Material</i> | - <i>Relief</i> |
| - <i>Settlement</i> | | |

3.1.5 Close Case, Archive Records



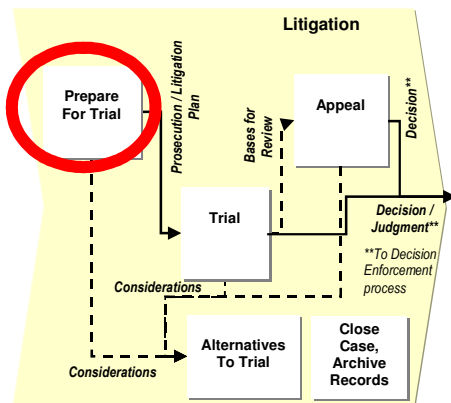
The following are the key data entities used while closing a case:

- | | | |
|-------------------|-----------------------|--|
| - <i>ADR</i> | - <i>Debt</i> | - <i>Disposition</i> |
| - <i>Document</i> | - <i>Notification</i> | - <i>Privileged/Protected Material</i> |

- *Relief*
- *Settlement*

3.2 Litigation Business Processes

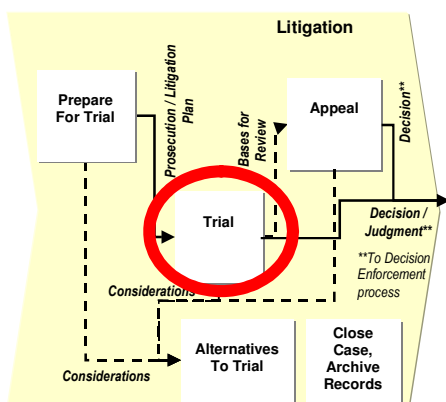
3.2.1 Prepare for Trial



The following are the key data entities used while preparing for trial:

- | | | |
|--|------------------------|-----------------------|
| - <i>ADR</i> | - <i>Asset</i> | - <i>Charge</i> |
| - <i>Claim</i> | - <i>Counsel</i> | - <i>Count</i> |
| - <i>Court</i> | - <i>Debt</i> | - <i>Disposition</i> |
| - <i>Document</i> | - <i>Event</i> | - <i>Evidence</i> |
| - <i>Filing</i> | - <i>Miscellaneous</i> | - <i>Notification</i> |
| - <i>Organization</i> | - <i>Participant</i> | - <i>Penalty</i> |
| - <i>Privileged/Protected Material</i> | - <i>Referral</i> | - <i>Relief</i> |
| - <i>Request</i> | - <i>Settlement</i> | - <i>Staff</i> |
| - <i>Target/Respondent</i> | - <i>Task</i> | |

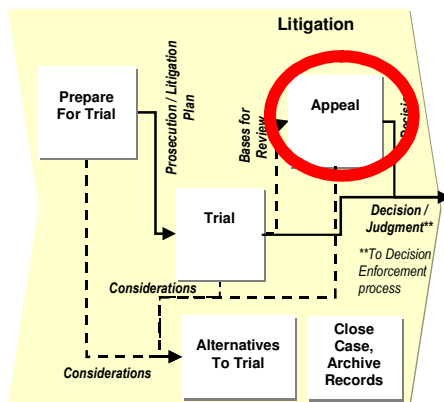
3.2.2 Trial



The following are the key data entities used during trial:

- | | | |
|------------------------|-----------------------|--|
| - <i>Asset</i> | - <i>Charge</i> | - <i>Claim</i> |
| - <i>Counsel</i> | - <i>Count</i> | - <i>Court</i> |
| - <i>Debt</i> | - <i>Disposition</i> | - <i>Document</i> |
| - <i>Event</i> | - <i>Evidence</i> | - <i>Filing</i> |
| - <i>Miscellaneous</i> | - <i>Notification</i> | - <i>Organization</i> |
| - <i>Participant</i> | - <i>Penalty</i> | - <i>Privileged/Protected Material</i> |
| - <i>Referral</i> | - <i>Relief</i> | - <i>Request</i> |
| - <i>Settlement</i> | - <i>Staff</i> | - <i>Target/Respondent</i> |
| - <i>Task</i> | | |

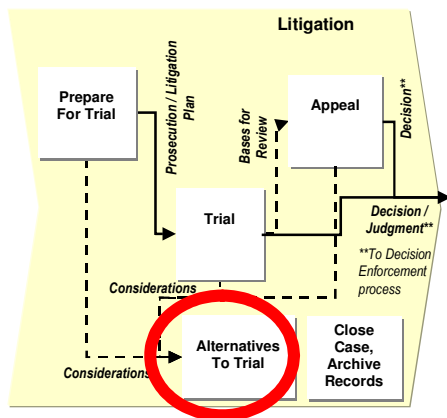
3.2.3 Appeal



The following are the key data entities used during an appeal:

- | | | |
|------------------------|-----------------------|--|
| - <i>Asset</i> | - <i>Charge</i> | - <i>Claim</i> |
| - <i>Counsel</i> | - <i>Count</i> | - <i>Court</i> |
| - <i>Debt</i> | - <i>Disposition</i> | - <i>Document</i> |
| - <i>Event</i> | - <i>Evidence</i> | - <i>Filing</i> |
| - <i>Miscellaneous</i> | - <i>Notification</i> | - <i>Organization</i> |
| - <i>Participant</i> | - <i>Penalty</i> | - <i>Privileged/Protected Material</i> |
| - <i>Referral</i> | - <i>Relief</i> | - <i>Request</i> |
| - <i>Settlement</i> | - <i>Staff</i> | - <i>Target/Respondent</i> |
| - <i>Task</i> | | |

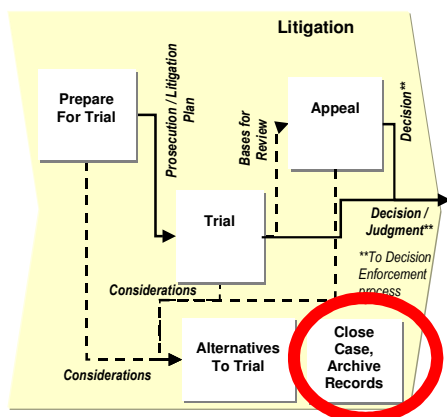
3.2.4 Alternative to Trial



The following are the key data entities used during alternative to trial:

- *ADR*
- *Counsel*
- *Debt*
- *Disposition*
- *Document*
- *Miscellaneous*
- *Participant*
- *Privileged/Protected Material*
- *Relief*
- *Settlement*

3.2.5 Close Case, Archive Records



The following are the key data entities used while closing a case:

- *ADR*
- *Debt*
- *Disposition*
- *Document*
- *Miscellaneous*
- *Notification*
- *Privileged/Protected Material*
- *Relief*
- *Settlement*

Table 3.1 below provides a summary of the information provided in the previous two sections.

Table 3.1: Data Entities per Business Process

	Investigation					Litigation				
	Intake	Investigation	Pleadings	Alternatives to Trial	Closing	Prepare for Trial	Trial	Appeal	Alternatives to Trial	Close Case/ Archive Records
ADR			X	X	X	X			X	X
Agent	X	X	X							
Asset		X	X			X	X	X		
Case			X							
Charge	X	X	X			X	X	X		
Claim	X	X	X			X	X	X		
Counsel	X	X	X	X		X	X	X	X	
Count	X	X	X			X	X	X		
Court			X			X	X	X		
Debt			X	X	X	X	X	X	X	X
Disposition	X	X	X	X	X	X	X	X	X	X
Document	X	X	X	X	X	X	X	X	X	X
Event	X	X	X			X	X	X		
Evidence	X	X	X			X	X	X		
Filing			X			X	X	X		
Matter	X	X	X							
Miscellaneous	X	X				X				
Notification		X	X		X	X	X	X		X
Organization	X	X	X			X	X	X		
Participant	X	X	X	X		X	X	X	X	
Penalty		X	X			X	X	X		
Privileged/Protected Material	X	X	X	X	X	X	X	X	X	X
Referral	X	X	X			X	X	X		
Relief		X	X	X	X	X	X	X	X	X
Request	X	X	X			X	X	X		
Settlement		X	X	X	X	X	X	X	X	X
Staff	X	X	X			X	X	X		
Target/Respondent	X	X	X			X	X	X		
Task		X	X			X	X	X		

4.0 Performance-Based Requirements

This section specifies the common LCMS PB requirements, as well as *organization*-specific requirements. This section is also intended to describe the LCMS business rules and user requirements for managing the data entities described in Section 2 of this document.

The following tables present requirements that define the usage of data entities and business rules that govern the behavior of the LCMS. The requirements are grouped into LCMS functional areas such as Case/Matter Handling, Assignment Management, Event Management, Search and Retrieval, Workflow Management, Notification, System Administration / Management, Business Rules Management, Time Reporting, Interface, Security, Information Sharing, Audit Trail, General Technical, Records Tracking, and Department Level Reporting.

Each functional area contains a table with first column indicating the requirement sequence number; second column contains Reference meant for DOJ internal use only, and the third column in the table contain the description of the performance-based requirement.

4.1 Case/Matter Handling

Case and *matter* handling functionality addresses the requirements to add, update, delete, and track *case* and *matter* related information. The key points of the requirements stated in the following table are listed below:

- The system shall provide a flexible numbering scheme to accommodate each *organization's* business rules.
- The system shall allow authorized users to edit and track *case/matter* information at any given point in the *case/matter* life cycle.
- *Cases/matters* may be related or grouped. The system shall maintain such relationships or groupings throughout the course of the *case/matter* life cycle.
- The system shall allow presentation of a holistic view of *case/matter* (i.e., all the *case* or *matter* related information, related *cases/matters* etc.).
- The system shall allow more than one *organization* to manage a *case/matter*; however, it shall be treated as a single *case/matter* at the Department level.
- The system shall allow flexibility to support data-related business rules (i.e., required elements, specific data elements, default values, lookup values, etc.), based on the *organization* and/or a *case* type.
- The system shall provide mechanisms to minimize data entry and avoid duplicate records.

LCMS Req. #	Reference	Performance-Based Requirements
1	B5-21	The system shall provide the capability to open a <i>case/matter</i> because of a <i>referral</i> , <i>recusal</i> , and/or a <i>request</i> from an <i>organization/agent/individual</i> .
2	B7-34	The system shall provide the capability to create, manage, and report <i>matters</i> that are not related to litigation. The system must support unique sets of data for each type of <i>case/matter</i> .
3	B8-3	The system shall provide the capability to indicate the level of effort associated with a <i>case/matter</i> .
4	B7-1	The system shall provide the capability to prohibit duplicate <i>cases/matters</i> from being entered, and to identify duplicates as they are being entered.
5	B2-2	The system shall provide the capability to refer a misdirected <i>case/matter</i> to the appropriate DOJ <i>organization</i> .
6	B7-3	The system shall provide the capability for an <i>organization</i> to close a <i>case/matter</i> when referring it to another <i>organization</i> in the Department. At the Department level, the <i>case/matter</i> will still be considered open until it has been closed by all <i>organizations</i> to which it is referred.
7	B7-2	The system shall provide the capability to open, close, and re-open a <i>case/matter</i> based on <i>organization</i> -specific business rules and provide the ability to track a <i>case/matter</i> that spans <i>organizations</i> as a single occurrence at the Department level.
8	B1-3	The system shall automatically assign a <i>case</i> identifier to a <i>case/matter</i> based on one or more <i>case</i> numbering schemes established by the user's <i>organization</i> ¹ ; however, parts of the auto-generated identifier may require users input. The system shall have the ability to assign multiple identifiers, including Department of Justice (DJ) number, in addition to DOJ <i>organization</i> -specific identifiers.
9	B2-1	The system shall provide the capability to automatically assign <i>case/matter</i> categorization (i.e., <i>case</i> type) values based on pre-established business rules or to manually assign categorization values based on specific elements such as, but not limited to, statute violated, district, agency, and year or other criteria.
10	B1-2	The system shall be capable of assigning multiple program categories / causes of action, statutory violations, and/or other <i>case</i> classifications to a <i>case/matter</i> and will allow the user to designate which value is primary for each classification.

¹ The term "organization" applies to any level of the Department (e.g. Component, section, branch, USAO, etc.).

LCMS Req. #	Reference	Performance-Based Requirements
11	B1-22	The system shall provide the capability to capture <i>requests</i> related to a <i>case/matter</i> . The identification includes, but is not limited to, the contact information of the requestor, and a description of the information requested. The types of <i>requests</i> include, but are not limited to, FOIA, Congressional, GAO, OMB, and White House, etc.
12	B1-23	The system shall provide the capability to record/track/associate submitted <i>requests</i> (e.g., FOIA, Congressional, GAO, OMB, and White House) to a <i>case/matter</i> .
13	B1-5	The system shall provide the capability to capture a <i>case/matter</i> whether or not the <i>case/matter</i> was initiated because of a FOIA request.
14	B1-24	The system shall provide the capability to assign a <i>counsel</i> and/or <i>staff</i> to fulfill a request (e.g., FOIA, Congressional GAO, OMB, and White House).
15	B1-6	The system shall provide the ability to establish and manage <i>case/matter</i> relationships and have the option to designate and/or change the lead <i>case</i> in a set of related <i>cases/matters</i> .
16	B1-1	The system shall require users to enter required <i>case/matter</i> information to initiate/update a <i>case/matter</i> , based on <i>organization</i> -specific business rules.
17	B7-32	The system shall provide for <i>case/matter</i> labeling with user-specified pseudonyms (e.g., for Grand Jury for which official titles, for security reasons, may not be displayed in the system).
18	B4-1	The system shall provide the capability for multiple DOJ <i>organizations</i> to collaborate on a <i>case/matter</i> (i.e., <i>organizations</i> should be able to add/update or monitor <i>case/matter</i> information based on their roles).
19	B2-5	Based on <i>organization</i> -specific business rules, the system shall provide the capability to add/modify/"delete" specific <i>case/matter</i> related information and/or data entities associated with a <i>case/matter</i> at any stage in the life cycle.
20	B1-8	The system shall provide the capability to specify the reason for adding or modifying/deleting selected data entities associated with a <i>case/matter</i> .
21	B2-7	The system shall provide the capability to logically delete a <i>case/matter</i> , along with the option to specify the reason for deleting the <i>case/matter</i> , so that the <i>case/matter</i> does not appear in reporting and statistics (e.g., in <i>cases</i> of duplicative data entry); however, the <i>case/matter</i> shall be maintained in the archive.

LCMS Req. #	Reference	Performance-Based Requirements
22	B1-14	The system shall have the capability to enter the same <i>court</i> docket numbers (or other <i>case/matter</i> identifiers); e.g. multiple districts that assign the same docket number. The system shall be able to alert the user if a duplicate, or similar, docket number (or other <i>case/matter</i> identifiers) already exists in the system within the same district.
23	B6-3	The system shall provide the capability to assign multiple <i>court</i> docket numbers (or other <i>case/matter</i> identifiers) to a <i>case/matter</i> , based on <i>organization</i> -specific business rules (e.g., multiple docket numbers for successive or consolidated appeals).
24	B6-2	The system shall provide the capability to move a <i>case</i> from one <i>court</i> to another <i>court</i> and be able to track the history of the change in venue, docket numbers, appeals etc.
25	B1-11	The system shall allow user(s) to add/modify/associate/ disassociate multiple <i>participants</i> with their respective role(s) in a <i>case/matter</i> .
26	B1-19	The system shall provide the capability to record and track <i>disposition</i> , <i>claims</i> , <i>charges</i> , and <i>relief</i> , and close individual <i>counts</i> or <i>targets/defendants/respondents</i> in a <i>case/matter</i> .
27	B5-2	The system shall have the capability to add/change/supersede <i>charges/counts</i> or <i>targets/defendants/respondents</i> .
28	B1-21	The system shall provide the option to flag <i>case/matter</i> records that should be sent to the VNS, Organized Crime Drug Enforcement Task Force (OCDETF), and Consolidated Debt Collection Systems (CDCS).
29	B4-2	The system shall provide the capability to suspend a <i>case/matter</i> . In the suspended status (i.e., while no resources are applied), the <i>organization</i> may monitor the <i>case/matter</i> status and activities performed by other <i>organization(s)</i> . A suspended <i>case/matter</i> is considered an open <i>case</i> for <i>case/matter</i> tracking.
30	B1-18	The system shall provide the capability to automatically change the status of the <i>case/matter</i> based on <i>organization</i> -specific business rules. For example, if the <i>disposition</i> date or closed date of a <i>case/matter</i> is removed, the system shall change the <i>case/matter</i> status from closed to open.
31	B7-30	The system shall provide the capability to track multiple interlocutory appeals related to <i>case/matter</i> during the litigation process.
32	B1-45	The system shall provide the capability to track the status (at both the Department level and the Component-level) of a <i>case/matter</i> at any given time. The <i>case/matter</i> status includes but is not limited to <i>case/matter</i> initiation date, associated entities, close date, assignments, scheduled <i>events</i> , and <i>events</i> performed.

LCMS Req. #	Reference	Performance-Based Requirements
33	B2-4	The system shall provide the capability to track the status of the amount of <i>debt</i> owed to the government related to a <i>case</i> . The system should be capable of obtaining status via an interface to the CDCS.
34	B3-6	The system shall have the capability to capture all money amounts, amount types, and pertinent dates associated with the <i>case/matter</i> . The source for the amounts data includes, but is not limited, to <i>claims</i> , settlements, judgments, appraisals, etc. The amount type includes but is not limited to cost recovery, injunctive relief, civil penalties, fines, natural resource damages, and judgment fund, etc. The system shall have the ability to track processing of payment for judgments awarded against the Government.
35	B3-7	The system shall provide a ledger capability to show accounts receivable and accounts payable ("Owed to" and "Owed by", etc.).
36	B3-8	The system shall provide the capability to capture and view <i>debt</i> information related to a <i>case/matter</i> . The source of <i>debt</i> information may be the CDCS.
37	B1-42	The system shall provide the capability to view summarized information related to a <i>case/matter</i> such as, but not limited to, <i>case/matter</i> identifier, description, <i>case/matter</i> type, <i>court</i> , location, <i>filing</i> date, judge, status, last activity, related and consolidated <i>case/matter</i> , time spent/reported, and <i>participants</i> .
38	B1-10	The system shall provide the capability to drill down into details for a user selected data entity from a <i>case/matter</i> -summarized view.
39	B1-25	The system shall provide the capability to search and retrieve <i>requests</i> (e.g., FOIA, Congressional GAO, OMB, and White House) and related information (i.e., associated <i>cases</i> , assigned <i>counsel</i> and <i>staff</i> , associated <i>events</i> , and fulfillment status).
40	B7-30	The system shall provide the capability to track multiple interlocutory appeals related to <i>case/matter</i> during the litigation process.
41	B5-10	The system shall provide the capability to create, track, and maintain the history of a <i>case/matter</i> group. A <i>case/matter</i> group contains related <i>cases/matters</i> .
42	B3-21	The system shall provide the capability to access the functionality and information provided by the interfacing systems. Examples of interfacing systems are the CDCS, the <i>organization's</i> record tracking systems, and the <i>organization's</i> document management systems.

4.2 Assignment Management

Assignment management functionality allows for creating and managing *task* assignments to DOJ staff. The key points of the requirements stated in the following table are listed below:

- The system shall allow users to manage (i.e., add/update/"delete") lists of *tasks* in or outside of a workflow.
- The system shall provide an easy and flexible way of assigning and managing *tasks* assigned to *staff* and *counsel*.
- At a minimum, the system should provide standard functionality for managing *tasks* such as assigning priorities, deadlines, sending out alerts, and reassigning.

LCMS Req. #	Reference	Performance-Based Requirements
43	B1-26	The system shall provide the capability to assign <i>counsel/staff</i> and their specific role to a <i>case/matter</i> . The assignment process may involve listing all <i>counsel/staff</i> with their respective current assignments, including start and end dates.
44	B7-6	The system shall provide the capability to control the automatic and manual assignment of <i>cases/matters</i> to <i>staff/counsel</i> based on business rules. The business rules may be <i>organization</i> -specific and encompass rules for restricting assignments due to conflict of interest.
45	B1-27	The system shall provide the capability for a user to modify the list of <i>tasks</i> that need to be performed by <i>counsel/staff</i> .
46	B6-18	The system shall provide the capability to assign <i>counsel/staff/participants</i> to multiple roles on a given <i>case/matter</i> .
47	B1-13	The system shall provide the ability to reassign/add/modify <i>participants</i> to individual or groups of <i>cases/matters</i> .
48	B6-17	The system shall have the capability to link <i>events</i> to <i>case/matter</i> , <i>staff/counsel/participants</i> , and <i>courts</i> .
49	B1-28	The system shall provide the capability for <i>counsel/staff</i> to indicate when <i>tasks</i> have been completed.
50	B1-30	The system shall provide the capability to view history including start and end dates of all <i>counsel/staff/participants</i> assigned to a <i>case/matter</i> .
51	B6-4	The system shall provide the capability to view history of all <i>cases</i> assigned to <i>counsel/staff</i> .

4.3 Event Management

Event management functionality addresses the need by an individual or organization to manage a calendar of *events*. The key points of the requirements stated in the following table are listed below:

- The system shall provide the ability to manage (i.e., add/update/delete) ad hoc *events*, user-defined *events*, and standard *events*.
- The system shall provide a mechanism to create and manage dependencies between *events*.
- The system shall provide the capability to manage *event* conflicts.

LCMS Req. #	Reference	Performance-Based Requirements
52	B1-36	The system shall provide the capability to add/modify/delete <i>events</i> .
53	B1-37	The system shall provide the capability to establish unlimited user-defined <i>events</i> . Examples of <i>events</i> include, but are not limited to, appeal, incident, deposition, arrest, intake, <i>filing</i> , meeting, and hearing.
54	B1-32	The system shall provide the capability to manually or automatically schedule <i>events</i> based on <i>organization</i> -specific business rules. <i>Events</i> may be linked to <i>cases</i> , <i>matters</i> , <i>counsel</i> , <i>staff</i> , <i>participants</i> , <i>court</i> , or other entities.
55	B1-33	The system shall provide the capability to support scheduling of <i>events</i> at the group level as well as at the <i>counsel/staff</i> level.
56	B1-39	The system shall provide the capability to define a required sequence of <i>events</i> , based on <i>organization</i> -specific business rules, so that an <i>event</i> cannot be scheduled, or an error message will appear before allowing the user to schedule the <i>event</i> , unless a precursor <i>event</i> or certain <i>event</i> has occurred.
57	B5-12	The system shall provide the capability to save as a template a required sequence of <i>events</i> . For example, bank fraud <i>cases</i> may have specific required <i>events</i> that are pre-requisites for other <i>events</i> .
58	B1-38	The system shall provide the capability to designate scheduled and unscheduled <i>events</i> /non-working days, by DOJ organization and region.
59	B1-31	The system shall provide the capability to update a calendar of <i>events</i> to include the <i>events</i> that have already taken place.
60	B1-34	The system shall provide the capability to indicate days and hours when individuals with calendar profiles are unavailable for scheduling.
61	B2-69	The system shall provide the capability to alert an individual or a group of individuals regarding overdue or near-due <i>events</i> .
62	B4-6	The system shall provide the capability to assign/modify a deadline, date, and time for a specific <i>event(s)</i> .

LCMS Req. #	Reference	Performance-Based Requirements
63	B1-35	The system shall provide the capability to resolve or override scheduling conflicts. Certain <i>events</i> can be locked so that only authorized users can change them.
64	B1-40	The system shall provide the capability to view a summarized calendar showing previously assigned and/or performed <i>events/tasks</i> and total hours/days spent on an <i>event(s)/task(s)</i> by an individual or group.
65	B4-4	The system shall provide the capability to track, view, and report <i>events</i> in multiple perspectives such as a list of all <i>events</i> that are due, past due, near due, and completed, sorted based on user-specified criteria.

4.4 Workflow Management

Workflow management functionality addresses the capability to provide flexible and user-friendly ways to manage (i.e., add/update/delete) workflow.

LCMS Req. #	Reference	Performance-Based Requirements
66	B5-14	The system shall provide the capability to establish a review and approval workflow. The workflow shall provide an option to assign <i>tasks</i> within the workflow to an individual/group/organization.
67	B5-15	The system shall provide the capability to establish business rules for each stage in the workflow.
68	B5-16	The system shall provide the capability to select one of many routing mechanisms for a workflow: <ol style="list-style-type: none"> 1) Sequential routing: <i>tasks</i> are to be performed one after the other 2) Parallel routing: <i>tasks</i> are to be performed simultaneously or in no particular order 3) Iterative routing: <i>tasks</i> may be performed one or many times 4) Conditional routing: <i>tasks</i> are initiated/updated/completed within the workflow because of certain conditions such as review, approval, or denial.
69	B5-17	The system shall provide the capability for prioritizing <i>tasks</i> in the work list based on user-specified criteria such as completion date, priority, deadline date, etc.
70	B5-18	The system shall provide the capability for a user to estimate how long it will take to complete a <i>task</i> .
71	B5-19	The system shall provide the capability to automatically alert the users when there is a new <i>task</i> for them to perform.
72	B5-20	The system shall provide the capability to cancel/suspend/resume the overall workflow process.

LCMS Req. #	Reference	Performance-Based Requirements
73	B3-13	The system shall provide a capability to establish a workflow for submitting time entries for management review and approval.
74	B7-5	The system shall provide a user-friendly mechanism for non-technical personnel to manage business rules, workflow, and validation rules.

4.5 Search and Retrieval

Search and retrieval functionality addresses the capabilities to search and retrieve *case/matter* data from LCMS and other interfacing systems. The key points of the requirements stated in the following table are listed below:

- The system shall provide simple and complex search functionality to support all levels of users.
- The system shall not require a user to understand the underlying data structure.
- The system shall allow for the search and retrieval of information residing in LCMS and any other system with which it directly interfaces.

LCMS Req. #	Reference	Performance-Based Requirements
75	B1-41	The system shall provide the capability to search for any data including notes and annotations related to a <i>case/matter</i> . The system shall include the capability to perform simple and advanced searches, allowing searches on a combination of data elements with Boolean expressions such as AND/OR, and shall provide a facility for advanced users to write SQL queries. Full text, fuzzy logic, proximity search, and soundex searches are included in this requirement.
76	B1-43	The system shall provide the capability to list all <i>cases/matters</i> , related data entities, and <i>events</i> based on user-specified search criteria. Selection criteria may include, but are not limited to, <i>staff</i> members assigned, date range, type of <i>case/matter</i> (civil, criminal, appeal), <i>participant</i> name, agency name and <i>referral</i> , <i>court</i> name and <i>court</i> number, and <i>case/matter</i> status.
77	B1-44	The system shall provide the capability to list all <i>cases/matters</i> and/or <i>requests</i> with options to sort data and order the columns based on user-selected data elements.
78	B3-22	The system shall provide the capability to search and retrieve data from an <i>organizations'</i> systems (e.g., document management system and records management system) with a live interface with LCMS.

LCMS Req. #	Reference	Performance-Based Requirements
79	B5-1	The system shall have the capability to search and select from a list of values such as, but not limited to, <i>case</i> type, program category, tracking name, <i>charges</i> , etc.
80	B5-4	The system shall provide the capability for the user to search without needing to know the underlying data structure of the system.
81	B5-24	The system shall provide the capability for the user to search and retrieve <i>cases</i> based on <i>case</i> group (subfolder concept).
82	B7-10	The system shall provide Query By Example (QBE) search functionality.
83	B7-29	The system shall provide the capability to graphically present results of a query or a report using both standard business graphics and other user interface gadgets such as Odometer, Traffic Lights, etc. For example, the system shall provide an executive dashboard containing information pertaining to key GPRA metrics measured against performance goals.

4.6 Notification

Notification functionality provides the capability to send and receive alerts or emails based on events, business rules, or manual entry.

LCMS Req. #	Reference	Performance-Based Requirements
84	B1-46	The system shall provide the capability to send out email or other types of alerts and <i>notifications</i> to agencies and DOJ <i>organizations</i> based on user selected conditions and criteria such as when, to whom, frequency, and format of <i>notifications</i> .
85	B3-20	The system shall provide the capability to automatically notify the CDCS of new <i>debts</i> to be collected.
86	B4-7	The system shall provide the capability to generate <i>documents</i> through the use of word processing applications (i.e. WordPerfect, Word), including but not limited to correspondence and <i>notifications</i> , based on pre-defined templates when certain <i>events</i> have occurred related to a <i>case/matter</i> .

4.7 Records Tracking

Records tracking addresses the capability for tracking and requesting physical records (i.e., files, folders, and other media) related to a *case/matter*. The key points of the requirements stated in the following table are listed below:

- The system shall provide a mechanism to record and track information related to physical records stored in the DOJ file rooms and the FRC.

- The system shall provide a user-friendly mechanism to search, retrieve, and *request* checkout of physical records.
- The system shall provide an automated process based on business rules and/or a manual process to request/track the transfer of physical records to DOJ file rooms, between DOJ file rooms, and/or between individuals.

LCMS Req. #	Reference	Performance-Based Requirements
87	B6-20	The system shall provide the capability to record and track the status and details of physical files and folders associated with a <i>case/matter</i> such as physical location (i.e., DOJ file rooms, FRC, or <i>staff</i>), <i>case/matter</i> identifiers, folder information, availability, category, sub-category, barcode, maintaining <i>organization</i> , description, keywords, index, archival information, box number etc.
88	B6-28	The system shall provide the capability to record and track the status and details of files located in the FRC, such as accession and location numbers, box number in shipment, number of file sections, archive date, whether file is permanently withdrawn from FRC, and a description of the contents (e.g., pleadings, briefs, and transcripts).
89	B6-29	The system shall provide the capability to track whether a file jacket was created (civil cases reviewed by the Tax Division and handled by the USAO or SAUSA are designated “file less” and no file is created).
90	B6-22	The system shall provide a mechanism to search, retrieve, and/or <i>request</i> files from the DOJ file rooms (e.g., ARU, RMU) and the FRC based on predefined criteria or user-specified criteria (e.g., files accessed/used/handled by a specific <i>counsel/staff</i>).
91	B6-23	The system shall provide a mechanism to generate automated <i>requests</i> for files from the DOJ file rooms (e.g., ARU, RMU) and the FRC based on user-specified criteria.
92	B6-21	The system shall provide the capability to associate and track various media types such as audio, video, microfiche, images, and maps with the record files.
93	B6-24	The system shall provide the capability to add, update, and delete information related to files in the DOJ file rooms (e.g., ARU, RMU).
94	B6-25	The system shall provide the capability to establish business rules to automatically identify files for shipping to <i>organizations’</i> RMU and/or FRC and generate a corresponding packing slip.
95	B6-26	The system shall provide the capability to maintain a history (who, what, when, type action) of <i>requests</i> , retrievals, checkout, check in, transfers, destroyed, archived, lost files, and changes to the files in the DOJ file rooms (e.g., ARU, RMU) and the FRC.

LCMS Req. #	Reference	Performance-Based Requirements
96	B6-27	The system shall provide the capability to establish and maintain a records retention schedule.
97	B2-79	The system shall provide the capability to view and generate reports on physical files located in the DOJ file rooms (e.g., ARU, RMU) and the FRC, sorted by user-specified criteria. For example, a screen/report view of data sorted in the same order as the order the files are physically sorted/ordered on the shelf.
98	B2-80	The system shall provide the capability to support a check-in and checkout process to support transferring of files to and from <i>staff</i> , DOJ file rooms (e.g., ARU and RMU), the FRC, and/or between DOJ file rooms.
99	B2-81	The system shall provide the capability to transfer checked out files between requestors.
100	B2-82	The system shall provide the capability to print barcode labels containing both text and bar-coded values for file identifier, location information, folder information, category, etc. to any network printer. The system shall support both 1-dimensional and 2-dimensional barcode symbologies.
101	B2-83	The system shall provide the capability to print one or many barcodes based on user-specified criteria. For example, a request to print barcode labels for a range of file folders in order to support mass changes affecting multiple folders.
102	B2-84	The system shall provide the capability to record and track the status and details of files and folders that are not associated with a <i>case/matter</i> that currently exist in the LCMS system (e.g., no DJ assigned in system yet). Details include things such as physical location (i.e., DOJ file rooms or FRC), identifiers, folder information, availability, category, sub-category, barcode, maintaining organization/section, description, keywords, index, archival information, box number, etc.
103	B2-85	The system shall support file folder aliases assigned/entered by the user.
104	B2-86	The system shall provide the capability to propagate <i>staff</i> name changes (i.e., the file is checked out to Jane Doe, but when the file needs to be checked back in, Jane Doe has changed her name).
105	B2-87	The system shall provide the capability to provide DOJ file rooms notification that <i>case/matter</i> data changes require new file labels or other manual actions needed by file room <i>staff</i> .
106	B2-88	The system shall provide the capability to allow files to be assigned to a specific DOJ file room (so that the file is managed only by that assigned file room).

4.8 Reporting

Reporting functionality provides the capability to create and generate reports on the data maintained by LCMS. The key points of the requirements stated in the following table are listed below:

- The system shall provide a user-friendly tool for standard and ad hoc reporting in various formats.
- The system shall be able to query and report against all data sources including LCMS and the interfacing systems.
- The system shall be able to generate exception reports.
- The system shall be able to route reports to individuals, email accounts, or a specific printer.

LCMS Req. #	Reference	Performance-Based Requirements
107	B7-17	The system shall provide a user-friendly, point and click, drag and drop tool/mechanism for query and reporting against the entire database.
108	B1-60	The system shall provide the capability to develop standard reports.
109	B1-61	The system shall provide the capability to develop ad hoc reports and queries based on user-specified criteria and save the report and query template for future use.
110	B1-79	The system shall have the ability to automatically generate pre-defined reports and deliver them via a specific delivery method, such as email or a printer.
111	B1-71	The system shall provide the capability to track and report all information related to the <i>case/matter</i> (including <i>requests</i>) from its inception through closure. A <i>case/matter</i> may originate at one DOJ <i>organization</i> but may be deferred or referred to another <i>organization</i> for processing. The system shall track and report it as a single <i>case/matter</i> at the Department level.
112	B7-15	The system shall provide the capability to track and report on the detailed state of a <i>case/matter</i> , as it existed at any historical point in time.
113	B7-16	The system shall provide the capability to roll up reports to a lead <i>case</i> level.
114	B8-4	The system shall provide the ability to report the number of <i>cases/matters</i> shared between <i>organizations</i> , based on user-specified criteria.
115	B5-6	The system shall provide quality control reports, or exception reporting, for “missing” information for a <i>case/matter</i> . The system shall be able to report views for both user and system administration.
116	B5-11	The system shall provide historical reports of the number of <i>cases/matters</i> at any point in time.

LCMS Req. #	Reference	Performance-Based Requirements
117	B6-7	The system shall have the capability to generate a bill of cost for the <i>court</i> , attorney's fees, reporting information, etc. (requires manual interface to Human Resources (HR) and financial management systems).
118	B6-19	The system must duplicate all existing reports or their functional equivalents.
119	B1-62	The system shall provide the capability to export data to standard reporting tools such as Crystal Reports and MS Excel.

4.9 Department Level Reporting

The LCMS will be a common litigation application for all litigation Components, thus enabling consistent metrics across the Department. These following requirements state the metrics for Department level reporting aligned with the four sections of the Program Assessment Rating Tool (PART) Quarterly Status Report. These metrics could be used as part of an executive-level dashboard.

LCMS Req. #	Reference	Performance-Based Requirements
120	B9-1	Performance Metrics The system shall provide the capability for an executive dashboard containing roll-up information pertaining to key performance metrics. Example metrics include the following: <ul style="list-style-type: none"> - Number and percentage of favorably resolved civil and criminal <i>cases/matters</i> - Number and percentage of unfavorably resolved civil and criminal <i>cases/matters</i> - Number and percentage of civil and criminal <i>cases</i> resolved through <i>ADR</i> - Number of terrorism and terrorism-related convictions
121	B9-2	Workload Metrics The system shall provide the capability for an executive dashboard containing roll-up information pertaining to key workload metrics. Example metrics include the following: <ul style="list-style-type: none"> - Number and percentage of open and closed litigation-<i>matters/cases</i> - Number and percentage of open and closed requests (e.g., FOIA requests) - Number and percentage of litigation-<i>matters/cases</i> referred to another agency/<i>organization</i> - Number and percentage of litigation-<i>matters/cases</i> received via a

LCMS Req. #	Reference	Performance-Based Requirements
		<i>referral</i> from another agency/organization
122	B9-3	Administrative Metrics The system shall provide the capability for an executive dashboard containing roll-up information pertaining to key administrative metrics. Example metrics include the following: <ul style="list-style-type: none"> - Total number and of <i>staff/counsel</i> (attorneys) working on open <i>cases</i> and litigation-<i>matters</i> - Total number and of <i>staff/counsel</i> hours working on open <i>cases</i> and litigation-<i>matters</i> - Average number of hours worked by staff/counsel per litigation-<i>matter, case</i>, group of <i>cases</i>, or type of <i>cases</i> Average number of staff and attorneys per litigation- <i>matter/case</i>
123	B9-4	The system shall provide the capability to collect and standardize user-selected metrics for display in an executive dashboard, based on business rules.
124	B9-5	The system shall provide the capability to drill down all metrics by <i>case</i> category (i.e., Civil and Criminal) and <i>organization</i> .

Note: Financial data is not included in the initial release of Phase 1 of the LCMS.

4.10 Time Reporting

Time reporting functionality provides the capability to capture, view, and report time spent by *staff* and *counsel* on a *case/matter* and other *events*. The key points of the requirements stated in the following table are listed below:

- The system shall provide a user-friendly and customizable interface for reporting time.
- The system shall allow reporting time against multiple *cases* or *matters*, an individual *case* or *matter*, and *events* or *tasks* unrelated to a *case* or *matter*.
- The system shall allow for the possibility of using other devices such as a BlackBerry or email to report time.

LCMS Req. #	Reference	Performance-Based Requirements
125	B2-9	The system shall provide the capability to capture and track <i>staff</i> and <i>counsel</i> time (hours and minutes) by <i>case/matter</i> , and/or <i>event/activity/task</i> .

LCMS Req. #	Reference	Performance-Based Requirements
126	B3-11	The system shall provide multiple ways for a user to record time (hours and minutes) spent on <i>cases/matters</i> and/or <i>events/activities/tasks</i> . For example, period views (i.e., day, week, and month) to record time spent by <i>counsel/staff</i> for one or many days for one or more <i>cases/matters</i> and/or <i>events/activities/tasks</i> .
127	B7-19	The system shall provide the capability to record and track time against any stage of a <i>case/matter</i> life cycle or against an entire <i>case/matter</i> regardless of the current stage of a <i>case/matter</i> .
128	B3-16	The system shall provide the capability for the user to create and manage a list of favorite <i>cases/matters</i> and/or <i>events/activities/tasks</i> based on user-specified criteria for time reporting.
129	B6-9	The system shall provide the capability to create a list of <i>cases/matters</i> automatically for time reporting, based on user-specified criteria such as <i>cases/matter</i> assigned.
130	B6-8	The system shall provide the capability to capture and track <i>staff</i> and <i>counsel</i> time (hours and minutes) for non-case related activities including, but not limited to, training.
131	B3-12	The system shall provide the capability to use proxies for recording time spent on a <i>case/matter</i> and/or event/activity/task.
132	B7-18	The system shall provide the capability to record text notes related to a specific <i>case/matter</i> for a specific time.
133	B7-35	The system shall provide the capability to move or copy data from one date to one or more other dates.
134	B5-9	The system shall provide the capability to import time recorded in the HR system based on a pre-defined interval (pending availability of an interface to the HR system).
135	B2-10	The system shall provide the capability to view time reported based on user-specified criteria such as time spent on a <i>case/matter/request</i> , by <i>counsel/staff</i> , on a <i>case</i> type, on an initiative such as OCDETF, on a <i>task/activity</i> , or within a specified date range.
136	B3-14	The system shall provide the capability to provide consolidated views for time reporting, for example, total time spent by all <i>staff</i> members for a <i>case/matter</i> and/or event/activity/task.
137	B3-15	The system shall provide the capability to provide an audit trail of time recorded by a <i>staff</i> member.
138	B5-7	The system shall provide the capability for users to enter time (hours and minutes) by alternative means, such as via a Blackberry, email, fax, etc.
139	B7-20	The system shall provide the capability to establish <i>organization-specific</i> business rules related to time reporting, for example, requiring <i>staff/counsel</i> to report time on a daily basis.

4.11 Information Sharing

Information sharing is one of the key objectives of LCMS. The key points of the requirements stated in the following table are listed below:

- The system shall allow multiple *organizations* to collaborate on a *case/matter*.
- The system shall provide for a safe and secure way of sharing information across *organizations*.

LCMS Req. #	Reference	Performance-Based Requirements
140	B3-3	The system shall provide a unified view of a <i>case/matter</i> (i.e., a <i>case/matter</i> may be identified with different identifiers by each DOJ <i>organization</i> ; however, the system shall recognize it as a single instance/occurrence of a <i>case/matter</i> at the Department level).
141	B3-4	The system shall provide a mechanism to securely share information across the Department based on business rules. If multiple <i>organizations</i> are assigned to a <i>case/matter</i> , all assigned <i>organizations</i> may have the ability to share information related to that <i>case/matter</i> . A DOJ <i>organization</i> may choose to play a monitoring role.
142	B5-23	The system shall allow an authorized user to establish rules to control access to a <i>case/matter</i> .
143	B6-14	The system shall provide the capability to display information matching entered information, such as tax ID number, across a <i>case/matter</i> within the Department.
144	B6-15	The system shall provide the capability to share and/or protect information from being shared based on user-specified criteria.

4.12 Audit Trail

The audit trail functionality provides the capability to maintain a historic view of all data maintained by LCMS. The key points of the requirements stated in the following table are listed below:

- The system shall have the ability to present a “before” and “after” image of a *case* or *matter* at any point in the *case/matter* life cycle.
- The system shall provide a complete historical view of all data elements (i.e., *cases*, *matters*, *events*, and all activities).
- The system shall maintain a record of all changes to a *case/matter* (who, what, when).

LCMS Req. #	Reference	Performance-Based Requirements
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LCMS Req. #	Reference	Performance-Based Requirements
145	B3-1	The system shall provide a mechanism for providing a historical audit trail of all record and data element changes (including additions, updates, and deletes, queries, and reports performed by a user). It will show when the change was made (date and time to the second), what change was made, and who made the change, including user, application, and module used to make the change.
146	B3-5	The system shall provide the capability to view the most recent audit record (when the change was made, what change was made, and who made the change) of the <i>case/matter</i> .
147	B7-25	The system shall be able to provide a before and after image of any change to a <i>case/matter</i> with a provision to reset the state of <i>case/matter</i> or the entire database to any specific point in time.
148	B7-36	The system shall provide a mechanism to view and query audit records based on a user's role and permission.

4.13 Business Rules Management

Business rules management functionality provides the capability to manage business rules related to the data or the process of handling a *case/matter*. The key points of the requirements stated in the following table are listed below:

- The system shall provide a user-friendly mechanism to manage business rules for each *organization*.
- Examples of business rules include, but are not limited to, the following:
 - o Performing calculations;
 - o Determining favorable/neutral/non-favorable outcome of a *case*;
 - o Rules-based routing of a *case/matter* to the appropriate *organization(s)* or individuals;
 - o Prerequisites for each stage of a *case/matter* depending upon a *case/matter* type.

LCMS Req. #	Reference	Performance-Based Requirements
149	B7-14	The system shall provide the capability to establish business rules and/or prerequisites for initiating, changing, or closing each stage of a <i>case/matter</i> life cycle.
150	B1-56	The system shall provide the capability to define and manage a flexible <i>case</i> identifier scheme, which may vary by DOJ <i>organization</i> .
151	B1-15	The system shall recognize that a <i>matter</i> has become a <i>case</i> when a <i>court</i> number is assigned or specific <i>events</i> have occurred, based on <i>organization</i> -specific, user defined business rules.

LCMS Req. #	Reference	Performance-Based Requirements
152	B5-22	The system shall provide the capability to automatically (based on <i>organization</i> -specific, user-defined business rules) or manually route a <i>case/matter</i> to the appropriate <i>organization(s)</i> or individual(s).
153	B3-9	The system shall provide the capability to establish and manage business rules to trigger <i>notifications</i> from the system.
154	B1-20	The system shall provide the capability to define <i>organization</i> -specific business rules that are required to close a <i>case/matter</i> . For example, a <i>case</i> can be closed only if all the <i>counts</i> in the <i>case</i> are disposed.
155	B1-16	Based on organization specific business rules, the system shall allow either of the following: 1) Prohibit a user from modifying a <i>case/matter</i> that is already closed; 2) Allow an authorized user to modify a closed <i>case/matter</i> , without re-opening it (e.g., for the purposes of correcting data errors or to complete the entry of missing information).
156	B1-57	For a <i>case/matter</i> , the system shall provide the ability to establish rules to perform calculations on selected amount fields (such as summing fines).
157	B1-58	The system shall calculate a <i>case/matter</i> destruction date in accordance with the applicable records retention schedule (such as NARA).
158	B1-59	The system shall provide the capability to establish and modify business rules used to determine if the <i>case/matter</i> had a favorable/neutral/unfavorable outcome.

4.14 Interface

The interface functionality lists the systems and types of interfaces that LCMS will support in Phase 1. The key points of the requirements stated in the following table are listed below:

- LCMS shall accept data from other systems in a standardized format such as delimited flat file, spreadsheet, or using the Global Justice XML data model standards.
- LCMS shall interface with the VNS, CDCS, Sentinel, and the DOJ litigating divisions' document management and records management systems.
- The system shall provide the capability to import and export data in a variety of standard formats (i.e., delimited flat file, spreadsheet, XML) that are produced by or used by other external systems or *organizations* (e.g., existing HR and financial management systems, Financial Management Information System (FMIS)/ Unified Financial Management System (UFMS), Healthcare Integrity and Protection Data Bank (HIPDB), ODETF, Public Access to Court Electronic Records (PACER),

RMU/ Federal Records Center (FRC), Internal Revenue Service (IRS), Equal Employment Opportunity Commission (EEOC), Immigration & Naturalization Service (INS)/ Immigration and Customs Enforcement (ICE), and the Environmental Protection Agency (EPA)).

LCMS Req. #	Reference	Performance-Based Requirements
159	B1-63	The system shall provide the capability to export a file in a format accepted by HIPDB with data containing, but not limited to, health care convictions and judgments.
160	B1-64	The system shall provide the capability to perform automated data import, extraction, and transformation to support data exchanges with external partner agencies such as the IRS, EEOC, INS/ICE, and EPA. The interface process should employ a unified data format based on the Global Justice XML Data Model.
161	B1-73	The system shall provide the capability to interface with other DOJ systems such as Sentinel, using and complying with the Global Justice XML data model (Refer http://www.it.ojp.gov).
162	B1-74	The system shall provide the capability to interface with the VNS.
163	B1-75	The system shall provide the capability to interface with the CDCS.
164	B1-76	The system shall provide the capability to interface with DOJ litigating divisions' document management systems such as Interwoven (formerly iManage), DocuShare, and PowerDocs.
165	B1-77	The system shall provide the capability to interface with DOJ <i>organizations'</i> records management systems.
166	B8-1	The systems shall provide the capability to accept <i>referrals</i> from the Federal Bureau of Investigation's (FBI's) Sentinel system.
167	B8-2	The systems shall have the ability to provide the status of referred <i>cases/matters</i> to the Sentinel system.
168	B8-5	The system shall provide the capability to import and export data in a variety of standard formats (i.e., delimited flat file, spreadsheet, XML) that are produced by or used by other external systems or <i>organizations</i> (e.g. existing HR and financial management systems, FMIS/UFMS, HIPDB, OCMET, PACER, RMU/FRC, IRS, EEOC, INS/ICE, and EPA).

4.15 Security

The security functionality addresses the functional-level security requirements related to LCMS. Please note that this functionality does not include operational and infrastructure related security constraints. The key points of the requirements stated in the following table are listed below:

- The system shall allow only an authorized and authenticated person access to data, functionality, or a subset of functionality in the system.
- The system shall provide role-based security to allow access to data and functions based on responsibilities of the role. A user may be allowed to have multiple roles.

LCMS Req. #	Reference	Performance-Based Requirements
169	B1-68	The system shall provide the capability to assign a user one or more roles, where each system user role consists of a set of function permissions and data permissions (role-based security). Function permissions determine whether a user is permitted to perform a given action in the system, e.g., initiate or close a <i>case/matter</i> . Data permissions determine whether the user is permitted to view specific data and whether the user is permitted to add/modify/delete that data.
170	B8-20	The system shall provide multiple layers of access control. A user ID and password shall be used to authenticate a system user. Function controls shall authorize authenticated user access to specific functions of the system and data controls shall provide access to data, based on user role, user group, <i>organization</i> , and/or <i>case/matter</i> type.
171	B1-67	The system shall have the capability to provide and manage various system users' roles and groups.
172	B8-15	The system shall provide the ability to define user profiles and establish groups of users with like attributes and system rights, such that changes to the group automatically apply to each individual user of that group.
173	B7-22	The system shall provide database level security to ensure that all <i>requests</i> to access the data are authenticated.
174	B4-9	The system shall provide the capability to control a user's access to a specific <i>case/matter</i> or a group of <i>cases/matters</i> .
175	B5-13	The system shall provide the capability to map pseudonyms ("John Doe #1") to names in instances where a <i>participant</i> name, or other information, is specifically withheld from the <i>case</i> management record.
176	B7-24	The system shall provide the capability to block access to the entire contents of an "Under Seal" <i>case/matter</i> , or a group of <i>cases/matters</i> , restricting access only to <i>staff/counsel</i> authorized by the <i>court</i> . Non-authorized users should only see a standard label (i.e., "Under Seal"). Search criteria should be controlled by business rules defined specifically to mediate access to "Sealed" <i>cases/matters</i> .

LCMS Req. #	Reference	Performance-Based Requirements
177	B4-5	The system shall provide the capability to assign supervisory control to modify/delete <i>events</i> related to a <i>case/matter</i> .
178	B7-23	The system shall provide access to the system and all interfacing systems with a single authenticated sign on at the network O/S level.
179	B8-6	The system shall provide the capability to authenticate the systems users using smart-cards, Public Key Infrastructure (PKI), and PKI certificates.
180	B8-14	The system shall require authentication of all user IDs and passwords before allowing access to the system.
181	B8-13	The system shall protect and secure user logons and passwords from unauthorized access.
182	B8-9	The system shall support the use of Enterprise Directory Service Public Key Infrastructure technology to control access to sensitive data over the DOJ Intranet via a secure smart-card for authentication.
183	B8-10	The system shall provide a solution that does not require the use of persistent cookies on a user's machine.
184	B8-11	The system shall operate in an environment that incorporates firewalls, providing only authorized users access to the system.
185	B8-12	The system shall support the ability to define an "inactivity time-out" period.
186	B8-16	The system shall support automated notifications when the system is unavailable.
187	B8-18	The system shall provide encryption capability to convert data into a ciphered form for transmission over a network, in order to safeguard data from unauthorized access.
188	B8-19	The system shall provide mechanisms to protect stored data as well as transmitted data from intrusive techniques (such as sniffer programs) that can capture data and monitor network activity.
189	B8-28	The system shall ensure that all the browser instances of the application are closed when the user logs out of the application.
190	B8-29	The system shall ensure that the user is logged out when all the instances of the application are closed.
191	B8-30	The system shall provide SQL insertion defense mechanisms to guard against data level intrusion.
192	B8-31	The system shall provide automated security audit analysis and reporting capability to monitor and track security anomalies.

4.16 System Administration/Management

System administration and management functionality is required to administer and manage functionality provided by the system. The key points of the requirements stated in the following table are listed below:

- The system shall allow for the management of required data, optional data, default data, and/or validation rules for *case/matter* type, category of *case/matter*, stage of a *case/matter*, and *events*.
- The system shall provide a user-friendly mechanism to manage standard look-up values.
- The system shall provide a well-tested and proven version upgrade mechanism to preserve the configuration and customization from previous versions.

LCMS Req. #	Reference	Performance-Based Requirements
193	B1-51	The system shall provide the capability to manage (i.e., add/modify/"delete") business rules based on data elements and conditions for each stage of the <i>case/matter</i> .
194	B2-13	The system shall provide the capability to establish sets of data entities, data elements, and business rules for use by each specific <i>case/matter</i> category (i.e., module/subject matter/practice area). When working on a <i>case/matter</i> category the system user shall have access to only <i>case/matter</i> category related set of data entities and data elements.
195	B2-12	The system shall provide selected fields to add/modify/"delete" data based on the category of the <i>case/matter</i> .
196	B1-52	The system shall provide the capability to establish validation rules for adding/modifying/deleting data entities and types of <i>events</i> related to a <i>case/matter</i> . Validation rules include, but are not limited to, the prohibition of future or past dates, validation against a list of values, min/max range check, and multi-field crosscheck.
197	B1-47	Depending on a program category/cause of action, DOJ <i>organization</i> , and a <i>case</i> type, the system shall provide the capability to specify required data elements for each stage of a <i>case/matter</i> , including initiating or closing a <i>case/matter</i> .
198	B1-48	The system shall provide the capability to establish system-wide data formatting defaults for data values based on <i>organization</i> -specific business rules.
199	B1-50	The system shall provide the option to specify the format for entering data.
200	B1-53	The system shall provide the option to restrict entities from being disassociated/"deleted" from a <i>case/matter</i> .

LCMS Req. #	Reference	Performance-Based Requirements
201	B1-55	The system shall provide the capability to identify the <i>events</i> that trigger a victim <i>notification</i> for a <i>case/matter</i> . When these <i>events</i> are initiated and/or closed, the <i>case</i> record should be automatically extracted with relevant data for export to the VNS.
202	B1-70	The system shall provide the capability to identify the <i>events</i> that trigger <i>debt</i> collection for certain types of <i>cases/matters</i> . When these <i>events</i> occur, the <i>case/matter</i> information should automatically be provided to the CDCS.
203	B2-14	The system shall provide the option to flag material as <i>privileged/protected</i> automatically based on predefined business rules and/or manually via user input.
204	B2-16	The system shall provide the capability to manage common lists of values (e.g., lookup tables) associated with each data element. The list may vary or be shared by DOJ <i>organizations</i> .
205	B6-6	The system shall provide the capability to flag entire <i>case/matters</i> or portions of a <i>case/matter</i> as <i>privileged/protected</i> .
206	B7-12	The system shall provide the capability to manage and administer <i>cases/matters</i> based on <i>organization</i> -specific business rules.
207	B7-13	The system shall provide the mechanisms for simplifying data entry for repetitive information based on <i>organization</i> -specific business rules and/or user profile, etc.
208	B8-7	The system shall maintain an audit trail of all system level changes and modifications.
209	B8-28	The system shall provide a well-tested and proven version upgrade mechanism to preserve the configuration and customization from previous versions.

4.17 General Technical

The general technical requirements address some of the overarching technical requirements of the LCMS. The key points of the requirements stated in the following table are listed below:

- The system shall maintain data referential integrity.
- The system shall provide the flexibility to extend the system database to accommodate each *organization's* specific data needs.

LCMS Req. #	Reference	Performance-Based Requirements
210	B2-18	The system shall maintain data referential integrity.
211	B7-27	The system shall provide a set of open APIs to support customer extensibility and integration with other applications.

LCMS Req. #	Reference	Performance-Based Requirements
212	B2-8	The system shall provide mechanisms to minimize data entry by using techniques such as list boxes, combo boxes, etc.
213	B3-18	The system shall provide the capability to extend the database when needed (i.e., add data tables and columns) to accommodate unique and changing data requirements of the Department and the <i>organizations'</i> business.
214	B7-28	The system shall be based on a relational database management system supporting functionality such as SQL, tree structure, schema management, data interchange mechanism, and security and access controls.
215	B4-8	The system shall offer standard Windows user interface capabilities such as spell check, cut, copy, paste, undo, and redo.
216	B7-26	The system shall provide complete (i.e., application, database, and configuration files) "fail over" capability.
217	B8-21	The system shall provide the capability to backup a system database and accommodate for batch processing that may be underway.
218	B8-22	The system shall provide the capability to optimize database performance without shutting down the database or application.
219	B8-23	The system shall allow data to span multiple physical volumes.
220	B8-25	The system shall provide an effective monitoring solution for performance management, system resources management, and system errors/failures.
221	B8-26	The system shall provide the capability to continuously monitor and report system response times.
222	B6-16	The LCMS solution must be Section 508 compliant.
223	B8-27	The system shall support both Netscape and Internet Explorer (IE).

4.18 Future Consideration

The following requirements, shown in Table 4.1 will not be incorporated into the initial release of Phase 1 for the USAO, but shall be incorporated in subsequent releases during Phase 1 as needed by other Components.

Table 4.1. Future Considerations

LCMS Req. #	Reference	Performance-Based Requirements
224	FC-1	The system shall provide the capability to support concept searching and taxonomic-based searching.
225	FC-3	The system shall provide transcript retrieval via full text proximity search with hit highlighting, keywords in context extracts and page/line number referencing.
226	FC-4	The system shall provide the capability to electronically file forms and <i>documents</i> with other agencies and vice versa send out electronic forms and <i>documents</i> from LCMS to other agencies.
227	FC-5	The system shall provide the capability to associate external data, <i>documents</i> , and multi-media contents such as audio and video with closed captioning with a <i>case/matter</i> .
228	FC-6	The system shall provide the capability to enter full text and annotations with any data entity within LCMS.
229	FC-7	The system shall provide the capability to perform real time data exchange and synchronization with other relational databases, such as Oracle, residing inside or outside of the Department, such as the FTC Pre-Merger Notification (PMN) and FTC Clearance Tracking System.
230	FC-8	The system shall provide the capability to establish <i>event</i> relationships and dependencies and provide automatic cascading of dates from a single seed date across a set of related <i>tasks</i> and <i>events</i> .
231	FC-9	The system shall provide the capability to associate <i>documents</i> , emails, discussion threads, web links, and other information with <i>event</i> information or <i>notifications</i> .
232	B7-7	The system shall provide automatic bi-directional synchronization with individual and group Microsoft (MS) Outlook calendars.